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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 10

Complete if Known	
Application Number	09/481,643
Filing Date	January 12, 2000
First Named Inventor	Lundy Lewis
Art Unit	2176
Examiner Name	Chau Nguyen
Attorney Docket Number	APB-014CNRCE3

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
CN	RX001	3,036,290	05-22-1962	Zarouni, A.	
CN	RX002	4,622,545	11-11-1986	Atkinson, W.D.	
CN	RX003	5,107,497	04-21-1992	Lirov, Y.V., *et al.*	
CN	RX004	5,123,017	06-16-1992	Simpkins, L.G., *et al.*	
CN	RX005	5,125,091	06-23-1992	Staas, Jr., P.C., *et al.*	
CN	RX006	5,133,075	07-21-1992	Risch, T.J.M.	
CN	RX007	5,226,120	07-06-1993	Brown, B., *et al.*	
CN	RX008	5,321,837	06-14-1994	Daniel, A.A., *et al.*	
CN	RX009	5,640,505	06-17-1997	Hearn, R., *et al.*	
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Examiner Initials*	Cite No.[1]	Foreign Patent Document Country Code[3]-Number[4]-Kind Code[5] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. [1] Applicant's unique citation designation number (optional). [2] See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. [3] Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). [4] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [5] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [6] Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
CN	RX011	Adler, R., *et al.* "Opera - An Expert Operations Analyst for a Distributed Computer System. *IEEE*. 1998; 179-85.	
CN	RX012	Aguilar, L. "NCMA: A Management Architecture that Integrates Enterprise Network Assets, Integrated Network Management I." in Meandzija *et al.*, eds., Integrated Network Mangement, I, IFIP 1989; 27-39.	
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CN	RX014	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Day 1: Transcript of Markman Hearing" October 28, 2004, pp.1-114.	
CN	RX015	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Day 2: Transcript of Markman" November 4, 2004, pp.1-103.	
CN	RX016	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Deposition of Leonard J. Forys" July 15, 2004, pp.1-311.	

Examiner Signature	Chau Nguyen	Date Considered	07/20/2005

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Sheet 2 of 10

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CN	RX017	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Videotaped Deposition of Mani Subramanian" July 22, 2004, pp.1-226.	
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CN	RX019	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Rule 26(a) Report of Mani Subramanian" June 4, 2004, pp.1-28 and Exhibits A-H.	
CN	RX020	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Declaration of Leonard J. Forys" January 11, 2005, pp.1-122 and Attachments 1-8.	
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Examiner Signature	Chau Nguyen	Date Considered	07/21/2005

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Sheet 3 of 10

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Application Number	09/481,643
Filing Date	January 12, 2000
First Named Inventor	Lundy Lewis
Art Unit	2176
Examiner Name	Chau Nguyen
Attorney Docket Number	APB-014CNRCE3

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CN	RX037	Feldkhun, L., *et al.* "Integrated Network Management Systems (A Global Perspective in the Issue)" in Meandzija *et al.*, eds., Integrated Network Mangement, I, IFIP 1989; 279-301.	
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Examiner Signature	Chau Nguyen	Date Considered	07/26/2005

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Sheet 4 of 10

Complete if Known	
Application Number	09/481,643
Filing Date	January 12, 2000
First Named Inventor	Lundy Lewis
Art Unit	2176
Examiner Name	Chau Nguyen
Attorney Docket Number	APB-014CNRCE3

NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
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CN	RX060	Jankauskas, L., *et al.* ""Technical Control of the Digital Transmissions Facilities of the Defense Communications System." *IEEE Transactions of Communications.* 1980 Sep; COM28(9): 1516-23.	
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CN	RX062	Karp, B.C., *et al.* "The Secure Data Network System." *AT&T.* 1988; 337-45.	
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CN	RX072	Laffey, T.J., *et al.* "Real-Time Knowledge Based Systems." *AAAI.* 1988; 132-50.	
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Examiner Signature	Chau Nguyen	Date Considered	08/22/05

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Sheet 5 of 10

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Examiner Signature	Chau Nguyen	Date Considered	04/28/2005

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CN	RX097	Partridge, C., *et al.* "HMES Variable Definitions." *Network Working Group RFC 1024.* 1987 Oct; retrieved from the internet at http://www.faqs.org/rfcs/rfc1024.html 1-74.	
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CN	RX107	Schönwalder, J., *et al.* "How to Keep Track of Your Network Configuration." *1993 LISA.* 1993 Nov 1-5; 101-6.	
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Examiner Signature	Chau Nguyen	Date Considered	08/01/2005

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CN	RX114	Sloman, M. "Policy Driven Management for Distributed Systems." *Journal of Network and Systems Management.* 1994; 2(4):1-22.	
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CN	RX123	Suzuki, M., *et al.* "Developments of Integrated Management System NETM Based on OSI Standards" in Krishnan, I. *et al.*, eds. Integrated Network Management II IFIP 1991; 189-99.	
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Examiner Signature	Chau Nguyen	Date Considered	07/27/2005

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Sheet 8 of 10

Complete if Known	
Application Number	09/481,643
Filing Date	January 12, 2000
First Named Inventor	Lundy Lewis
Art Unit	2176
Examiner Name	Chau Nguyen
Attorney Docket Number	APB-014CNRCE3

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
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CN	RX137	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Second Amended Answer to Complaint for Patent Infringement and Counterclaim" May 6, 2004, pp.1-14.	

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Sheet 9 of 10

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	RX151	Terplan, K. Communication Networks Management, 2d. Edition. Prentice Hall 1992 i-xviii, 1-702.	

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Sheet	10	of	10

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CN	RX152	*ISO/IEC 7498-4 International Standard, Information Processing Systems – Open Systems Interconnection – Basic Reference Model – Part 4: Management Framework.* Geneva: International Organization for Standardization, 1st Ed., November 15, 1989.	
CN	RX153	"Network Management Protocols." *IEEE Network Magazine*. 1988; 2(2).	
CN	RX154	*Planning and Reference for NetView, Network Control Program, Virtual Telecommunications Access Method.* Document Number SC31-6102-01, IBM Corp., 1992.	

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Sheet 1 of 1

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CN	RX153	"Network Management Protocols." *IEEE Network Magazine.* 1988; 2(2):1-66.	
CN	RX154	*Planning and Reference for NetView, Network Control Program, Virtual Telecommunications Access Method.* Document Number SC31-6102-01, IBM Corp., 1992; xx, 1-329.	

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